

PATENT APPLICATION SERIAL NO. \_\_\_\_\_

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

06/08/2001 WABRHAM1 00000045 09874434

01 FC:201	355.00	OP
02 FC:203	18.00	OP

06-06-01

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06/04/01  
 984 U.S. PTO

Attorney Docket No.: LWM-A105

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE****Patent Application**

I hereby certify that this transmittal of the below described documents is being deposited with the United States Postal Service in an envelope bearing Express Mail Postage and an Express Mail label, with the below serial number, addressed to the Commissioner of Patents and Trademarks, Washington, D.C., 20231, on the below date of deposit.			
Express Mail Label No.:	EL827027627US	Name of Person Making the Deposit:	Anthony Chou
Date of Deposit:	06/04/01	Signature of the Person Making the Deposit:	<i>Anthony Chou</i>

09/874434  
 06/04/01  
 984 U.S. PTO

Inventor(s): Fan Zhong and Jonathan G. Bornstein

Title: A METHOD AND SYSTEM FOR A HIGH-DENSITY PLASMA DEPOSITION  
 PROCESS FOR FABRICATING A TOP CLAD FOR PLANAR LIGHTWAVE  
 CIRCUIT DEVICES

The Commissioner of Patents and Trademarks  
 Washington, D.C. 20231

Sir:

**Transmittal of a Patent Application**  
 (Under 37 CFR §1.53)

Transmitted herewith is the above identified patent application, including:

- ☒ Specification, claims and abstract, totaling 20 pages.  
☐ Formal drawings, totaling \_\_\_\_\_ pages.  
☒ Informal drawings, totaling 5 pages.  
☒ Declaration and Power of Attorney.  
☐ Information Disclosure statement.  
☐ Form 1449  
☒ Assignment(s)  
☒ Assignment Recordation Form (duplicate)  
☐ Preliminary Amendment  
☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i)  
☐ Other: \_\_\_\_\_

**FEES DUE**

The fees due for filing the specification pursuant to 37 C.F.R. § 1.16 and for recording of the Assignment, if any, are determined as follows:

CLAIMS					
	NO. OF CLAIMS		EXTRA CLAIMS	RATE	FEES
Basic Application Fee					\$355.00
Total Claims	22	Minus 20=	2	X \$9 =	\$18.00
Independent Claims	3	Minus 3=	0	X \$40=	\$0.00
If multiple dependent claims are presented, add \$270.00					\$0.00
Add Assignment Recording Fee of \$40.00 If Assignment document is enclosed					\$40.00
<b>TOTAL APPLICATION FEE DUE</b>					<b>\$413.00</b>

## PAYMENT OF FEES

The full fee due in connection with this communication is provided as follows:

1. Not enclosed  
☐ No filing fee is to be paid at this time.
2. Enclosed  
☒ Filing fee  
☒ Recording assignment  
☐ Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached  
☐ For processing an application with specification in a non-English language  
☐ Processing and retention fee  
☐ Fee for international-type search report  
☒ The Commissioner is hereby authorized to charge any additional fees associated with this communication or credit any overpayment to Deposit Account No.: 23-0085. A duplicate copy of this authorization is enclosed.  
☒ A check in the amount of \$413.00  
☐ Charge any fees required or credit any overpayments associated with this filing to Deposit Account No.: 23-0085.

This application is filed pursuant to 37 C.F.R. § 1.53 in the name of the above-identified Inventor(s).


Please direct all correspondence concerning the above-identified application to the following address:

**WAGNER, MURABITO & HAO LLP**  
Two North Market Street, Third Floor  
San Jose, California 95113  
(408) 938-9060

- ☒ This transmittal ends with this page.

Respectfully submitted,

Date: 06/04/01

By:   
Glenn D. Barnes  
Reg. No. 42,293